SUMMARY OF ENFORCEMENT ACTIONS (ADMINISTRATIVE AND CIVIL) BY THE CALIFORNIA DEPARTMENT OF BUSINESS OVERSIGHT October 2017

SUBJECT ACTION CHARGING SECTIONS

SUBJECT	ACTION	CHARGING SECTIONS
SWBC Mortgage Corporation	Accusation	Unlawful Residential Mortgage
		Lending Activity
San Antonio, Texas	Statement of Facts in Support of	
	Order to Discontinue Violations and	
	Notice of Intent to Make Order	(Financial Code Sections
	Final	50204(o), 50321, 50327,
		50504(o) and 50513(b))
	Order to Discontinue Violations	
	October 2, 2017	
Blackwood Equities, LLC	Desist and Refrain Order	Unlawful Offer and Sale of
		Securities
Los Angeles, California	October 2, 2017	
		(Corporations Code Section
		25401)
IMPAC Mortgage Corp.	Consent Order	Unlawful Residential Mortgage
		Lending Activity
Irvine, California	October 2, 2017	, , , , , , , , , , , , , , , , , , , ,
		(Financial Code Sections
		50204(o) and 50321)
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SUBJECT VIOLATIONS & CHARGING SECTIONS

Order (1) Granting Petition for	Unlawful Finance Lenders Law
Reinstatement and (2) Reinstating	Activity
California Finance Lender License	
	(Government Code Section
October 3, 2017	11522)
Accusation	Unlawful Residential Mortgage
	Lending and Finance Lenders
Statement of Facts in Support of Order to Discontinue Violations	Law Activity
and Notice of Intent to Make Order	(Financial Code Sections
Final	50204(i) and (o), 50314,
	50327, 50513(b), 50321, 50504
Order to Discontinue Violations	and 22714)
Order to Refund Excessive Per Diem	
Interest Charges	
October 4, 2017	
Order Denying Finance Lender and	Unlawful Finance Lenders Law
Broker License Application	Activity
October 4, 2017	(Financial Code Section 22109)
	Reinstatement and (2) Reinstating California Finance Lender License October 3, 2017 Accusation Statement of Facts in Support of Order to Discontinue Violations and Notice of Intent to Make Order Final Order to Discontinue Violations Order to Refund Excessive Per Diem Interest Charges October 4, 2017 Order Denying Finance Lender and Broker License Application

VIOLATIONS & ACTION CHARGING SECTIONS

SUBJECT	ACTION	CHARGING SECTIONS
AG-Wise, Inc.	Desist and Refrain Order	Unlawful Offer and Sale of
Eric Mireles		Securities
Saddleback Resolution Group, LLC	October 9, 2017	
Ali Barkhordar		(Corporations Code Sections
		25110 and 25401)
Lemoore, California		
Irvine, California		
Valencia, California		
Bannockburn Global Forex, LLC	Cease and Desist Order and Order	Unlawful Money Transmission
Bulliockouth Global I ofex, EEC	Levying Penalties	Law Activity
Cincinnati, Ohio	Levying renarces	Law retivity
emerman, eme	October 9, 2017	(Financial Code Sections
		567, 2030 and 2151.1)
AmWest Funding Corp.	Settlement Agreement	Unlawful Residential Mortgage
		Lending and Finance Lenders
Brea, California	October 10, 2017	Law Activity
		(Financial Code Sections
		50204(o), 50321, 50327,
		50513(b), 50504 and
		50504(o))

VIOLATIONS & ACTION CHARGING SECTIONS

SUBJECT	ACTION	CHARGING SECTIONS
Archie John Luse dba	Consent Order	Unlawful Investment Adviser
Harbor Island Wealth Management		Activity
	October 11, 2017	
Newport Beach, California		(Corporations Code Sections
		25235, 25238, 25241 and
		25249)
Adrienne Johnson	Order Denying Mortgage Loan	Non-Issuance of Mortgage
	Originator License Application	Loan Originator License
Torrance, California		
	October 11, 2017	(Financial Code Section
		50141)
Nancy Tran	Notice of Petition for Reinstatement	Unlawful Escrow Law
Traincy Train	Tvotice of 1 cutton for Remstatement	Activity
Garden Grove, California	October 11, 2017	Activity
	,	(Government Code Section
		11522)
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SUBJECT VIOLATIONS & CHARGING SECTIONS

BUDIECI	ACTION	CHARGING SECTIONS
FastCredit Financial, Inc.	Consent Order	Unlawful Finance Lenders Law
	0 4 1 12 2017	Activity
Los Angeles, California	October 12, 2017	(Financial Code Section
		(Financial Code Section 22712)
		[22/12]
Candide Group, LLC	Consent Order	Unlawful Investment Adviser
-		Activity
Oakland, California	October 12, 2017	
		(Corporations Code Section
		25230)
JMR Capital Management, Inc.	Statement in Support of Notice of	Unlawful Investment Adviser
	Intention to Issue Order Levying	Activity
San Francisco, California	Penalties	(Comparations Code Sections
	Statement of Facts in Support of	(Corporations Code Sections 25249 and 25252)
	Order to Discontinue Violations	23249 diid 23232)
	order to Discontinue violations	
	October 20, 2017	
	, in the second	
	Order to Discontinue Violations	
	October 25, 2017	

VIOLATIONS & ACTION CHARGING SECTIONS

SUBJECT	ACTION	CHARGING SECTIONS
Lumen Solutions, Inc.	Statement of Issues in Support of	Unlawful Finance Lenders Law
	Order Denying California Finance	Activity
Santa Ana, California	Lender License Application	
		(Financial Code Section
	October 23, 2017	22109(a))
The Lending Partners, LLC forced to do business	Accusation	Unlawful Residential Mortgage
in California as GreenPath Lending, LLC		Lending Law Activity
	Statement of Facts in Support of	
Plano, Texas	Order to Discontinue Violations	(Financial Code Sections
	and Notice of Intent to Make Order	50202(a), 50204(o), 50314,
	Final	50321, title 10 § 1950.314.1 and
		1950.314.6, 50513(b) and
	Order to Discontinue Violations	50504(o))
	October 23, 2017	
TechnoVision Management, LLC	Desist and Refrain Order	Unlawful Investment Adviser
		Activity
Saratoga, California	Consent Order	
		(Corporations Code Sections
	October 26, 2017	25230, 25230(a) and
		25532(b))

SUBJECT VIOLATIONS & CHARGING SECTIONS

Joseph Francis Diez dba	Order Revoking Investment Adviser	Unlawful Investment Adviser
Alii Consulting	Certificate	Activity
San Francisco, California	October 27, 2017	(Corporations Code Sections 25232)
William John Mickley, Jr.	Accusation in Support of Order	Mortgage Loan Originator
	Revoking Mortgage Loan Originator	License
Tustin, California	License of William John Mickley, Jr.	
		(Financial Code Sections
	October 31, 2017	50141 and 50513)